



Please type a plus sign (+) inside this box →

+

PTO/SB/21 (08-00)

Approval for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | |
|---|-----------------------------|-------------------------------|-------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | Application Number | 09/835,866 | |
| | Filing Date | April 16, 2001 | |
| | First Named Inventor | Willebrand, Heinz | |
| | Group Art Unit | 2633 | |
| | Examiner Name | Phan, Hanh | |
| Total Number of Pages in This Submission | 40 | Attorney Docket Number | 69971 |

RECEIVED
OCT 15 2002

ENCLOSURES (check all that apply)

Technology Center 20000

| | | |
|---|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): - Form PTO-1449 - copies of twenty-six (26) references - Return receipt postcard |
| Remarks - Amendment Under 37 C.F.R. § 1.121 (33 pgs.) | | |

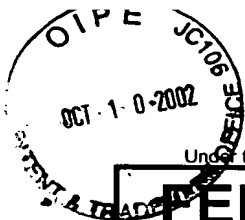
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-----------------|--|
| Individual name | Richard E. Wawrzyniak, Reg. No. 36,048 |
| Signature | |
| Date | 10/7/02 |

CERTIFICATE OF MAILING

| | | | |
|---|-----------------------|------|-----------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: October 7, 2002 | | | |
| Typed or printed name | Richard E. Wawrzyniak | | |
| Signature | | Date | October 7, 2002 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Approved for use through 10/31/2002. PTO/SB/17 (11-00)
OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Complete if Known

| | |
|---------------------|-------------------|
| Application Number | 09/835,866 |
| Filing Date | April 16, 2001 |
| First Named | Willebrand, Heinz |
| Examiner Name | Phan, Hanh |
| Group Art Unit | 2633 |
| Attorney Docket No. | 69971 |

TOTAL AMOUNT OF PAYMENT \$252.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit
Account
Number

06-1135

Deposit
Account
Name

Fitch, Even, Tabin & Flannery



Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17



Applicant claims small entity status.
See 37 CFR 1.27

2. ☐ Payment Enclosed:



Check



Credit card



Money
Order



Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|-------------|-------------|-------------|-------------|------------------------|----------|
| 101 | 740 | 201 | 370 | Utility filing fee | |
| 106 | 330 | 206 | 165 | Design filing fee | |
| 107 | 510 | 207 | 255 | Plant filing fee | |
| 108 | 740 | 208 | 370 | Reissue filing fee | |
| 114 | 160 | 214 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

| Extra Claims | | Fee from below | Fee Paid |
|-----------------------|-------------|-------------------|-----------|
| Total Claims | 34 -30**= 4 | X \$18. | = \$72.00 |
| Independent Claims | 5 -5**= 0 | X 0 | = 0 |
| Multiple Dependent | | 0 | = 0 |

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description |
|----------------------|-----------------------|----------------------|-----------------------|---|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 | Multiple dependent claim, if not paid |
| 109 | 84 | 209 | 42 | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$72.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

| Fee Code | Large Entity Fee (\$) | Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|-----------------------------------|--------------------------------|-------------|--------------------------------|---|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or date | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | Extension for reply within fourth month | |
| 128 | 1,960 | 228 | 980 | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | Notice of Appeal | |
| 120 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | Design issue fee | |
| 144 | 620 | 244 | 310 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | 180.00 |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 740 | 279 | 370 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |
| Other fee (specify) | | | | | |
| *Reduced by Basic Filing Fee Paid | | | | | |
| SUBTOTAL | | | | | \$180.00 |

RECEIVED

OCT 15 2002

Technology Center 2800

SUBMITTED BY

Name (Print/Type) Richard E. Warzyniak

Registration No.
(Attorney/Agent)

36,048

Complete (if applicable)

Telephone

858-552-1311

Signature

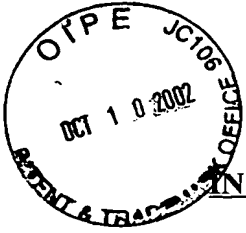
Date

October 7, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization of PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

#7 Supp IDS/rel
Smw 10-22-02



Attorney Docket No. 69971

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Willebrand, Heinz

Application No.: 09/835,866

Filed: April 16, 2001

Title: INTEGRATED ENVIRONMENTAL
CONTROL AND MANAGEMENT
SYSTEM FOR FREE-SPACE OPTICAL
COMMUNICATION SYSTEMS

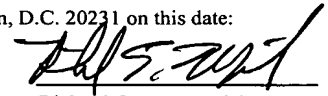
Group Art Unit: 2633

Examiner: Phan, Hanh

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the U. S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, U.S. Patent and Trademark Office, Washington, D.C. 20231 on this date:

October 7, 2002
Date


Richard E. Wawrzyniak

RECEIVED

OCT 15 2002

Technology Center 2000

SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, DC 20231

Dear Sir:

This Information Disclosure Statement is submitted:

____ Under 37 CFR §1.97(b) (within three months of the filing date of a national application or date of entry of an international application, or before the mailing date of a first Office Action on the merits, whichever occurs last).

X Under 37 CFR §1.97(c) together with either:
____ a statement under 37 CFR §1.97(e), or
X a fee under 37 CFR §1.17(p)
(after the 37 CFR §1.97(b) time period, but before the mailing date of a final Action, a Notice of Allowance, or an action that otherwise closes prosecution).

____ Under 37 CFR §1.97(d) together with:
____ a statement under 37 CFR §1.97(e), and
____ a fee under 37 CFR §1.17(p)
(after the 37 CFR §1.97(c) time period, but on or before payment of the issue fee).

10/11/2002 DTESSEM1 00000033 061135 09835866

02 FC:126 180.00 CH

IDS

Application No. 09/835,866

In accordance with the duty of disclosure imposed by 37 CFR § 1.56 to inform the Patent Office of all patents, publications, applications and other information known by Applicants or Applicants' representative that may be material to the examination of the subject application, Applicants' representative hereby provides this Information Disclosure Statement that is prepared in accordance with 37 CFR §§ 1.97-1.98 and includes Form PTO-1449 with twenty-six (26) references listed as items AA-AZ.

Applicant is resubmitting item AW because the checking of the "Yes" box under "Translation" was inadvertently omitted on the previous submission. Item AZ is also being resubmitted because its date was inadvertently left off of the PTO-1449 Form in the previous IDS.

It is requested that the information provided herein be made of record in this application.

10/7/02
Date

Respectfully submitted,



Richard E. Wawrzyniak
Attorney for Applicant(s)
Reg. No. 36,048
(858) 552-1311

Address all Correspondence to:

FITCH, EVEN, TABIN & FLANNERY
120 So. LaSalle Street
Suite 1600
Chicago, IL 60603
(858) 552-1311